


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of SAPPER, Goetz-Ekkehard HUMMERT, Tobias	Practitioner's Docket No. PAT-00374
Serial No.: This application is a National Phase application of PCT/EP2003/012310 filed 05. November 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: AQUEOUS CHROMOPHORE AND/OR EFFECT-PRODUCING COATING MATERIAL, AND USE OF THE SAME	<u>EXPRESS MAIL CERTIFICATE</u> I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 915 877 726 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below. May 31, 2005 _____ Date  _____ Marjorie Ellis

BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

<input checked="" type="checkbox"/>	Information Disclosure Statement
<input checked="" type="checkbox"/>	From PTO-1449
<input checked="" type="checkbox"/>	Cited References
<input checked="" type="checkbox"/>	International Search Report
<input checked="" type="checkbox"/>	Germany International Search Report

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of SAPPER, Goetz-Ekkehard HUMMERT, Tobias	Practitioner's Docket No. PAT-00374
Serial No.: This application is a National Phase application of PCT/EP2003/012310 filed 05. November 2003.	Group Art Unit: Not Assigned
Filed:	Examiner: Not Assigned
For: AQUEOUS CHROMOPHORE AND/OR EFFECT-PRODUCING COATING MATERIAL, AND USE OF THE SAME	<div style="border: 1px solid black; padding: 5px;"> <p><u>EXPRESS MAIL CERTIFICATE</u></p> <p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 915 877 726 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div style="text-align: center;"> May 31, 2005 <hr style="width: 100px; margin: 0 auto;"/> Date </div> <div style="text-align: center;"> <hr style="width: 100px; margin: 0 auto;"/> Marjorie Ellis </div> </div> </div>

Mail Stop PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, Virginia 22313-1450

INFORMATION DISCLOSURE STATEMENT

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

COPIES PROVIDED:

☒ Legible copies of all items listed on Form PTO-1449 accompany this information statement, except Copies of U.S. patents, U.S. patent application publications, copies of U.S. applications that were filed on or after June 30, 2003, and copies of U.S. applications that were filed before June 30, 2003 that are available in the Image File Wrapper System.

☐ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. [____], filed on [____]. The following references were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [____] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

FOREIGN LANGUAGE DOCUMENTS

☐ There are no foreign language documents listed on Form PTO-1449.

☒ The following non-English language references were cited in the specification and/or ISR. The English language equivalents/translations for these references are being submitted in substitution for and/or in addition to the non-English references.

Cited Art	English language equivalents
DE4437535	6001915
DE19722862	6161506
EP0589340	5270399

☐ English language abstract for the following non-English references are enclosed.

☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.

☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.

☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:

☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

CERTIFICATION:

☒ The Information Disclosure Statement transmitted herewith is being filed **within** three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐ The Information Disclosure Statement transmitted herewith is being filed **after** three (3) months of the filing date of the application or the date of entry into the national stage of an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but **before** the mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 C.F.R. §1.311, whichever occurs first. Accordingly, I hereby certify that:

☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1);
OR

Information Disclosure Statement
Page 3

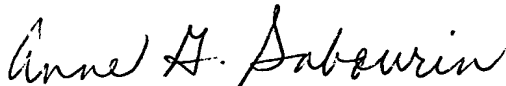
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**
- ☐ Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$180.00** IDS submission fee to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.
- ☐ The Information Disclosure Statement transmitted herewith is being filed **After a Final Action** under 37 C.F.R. §1.113, or **After a Notice of Allowance** under 37 C.F.R. §1.311, whichever occurs first, but **Before Payment of the Issue Fee**. Accordingly, I hereby certify that:
- ☐ Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1);
- OR**
- ☐ That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **AND**
- ☐ Applicant hereby petitions for consideration of this Information Disclosure Statement; 37 C.F.R. §1.97(d)(2)(ii). Please charge the petition fee of **\$180.00** to BASF Corporation **Deposit Account No. 23-3425**. A duplicate of this paper is enclosed.

The Commissioner is authorized to charge BASF Corporation **Deposit Account No. 23-3425** for any additional fees due hereunder.

Reg. No.: **33,772**

Tel. No.: (**248**) **948-2021**

Customer No. **26922**



SIGNATURE OF ATTORNEY and DATE
Anne Gerry Sabourin

Type or print name of attorney
BASF Corporation
26701 Telegraph Road

P.O. Address
Southfield, Michigan 48034-2442

FORM PTO-1449
(MODIFIED)

US DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

Atty. Docket No. PAT-00374

LIST OF ART CITED BY APPLICANT
(Use sever of sheets if necessary)

In re Application of: SAPPER, et al.

Serial No.:

Filed: May 31, 2005

U.S. PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,854,332	12/29/98	Swarup, et al.	524	507	12/20/96
	AB	5,270,399	12/14/93	Czornij, et al.	525	327.6	09/22/92
	AC	6,001,915	12/14/99	Schwarte, et al.	524	457	9/16/97
	AD	6,162,506	12/19/00	Lettmann, et al.	427	407.1	05/20/98
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						

FOREIGN PATENT DOCUMENTS

Examiner initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATED YES NO	
	AJ	EP 0 589 340	15.09.93	EP	C09D	7/02	X	
	AK	DE 197 22 862	14.01.99	DE	C09D	151/08		X
	AL	DE 44 37 535	25.04.96	DE	C08F	283/00		X

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AM	
	AN	
	AO	
	AP	

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

*Applicant has modified this form by deleting the word "prior".